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PTO/SB/29 (12/97)

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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	10436-0009-999	Total Pages	115
	First Named Inventor or Application Identifier			
	Douglas Levinson			
	Express Mail Label No.	EL 501 636 477 US		

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
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<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form Submit an original, and a duplicate for fee processing</p> <p>2. <input checked="" type="checkbox"/> Specification (preferred arrangement set forth below) [Total Pages <u>105</u>]</p> <p>-Descriptive title of the Invention -Cross Reference to Related Applications -Statement Regarding Fed sponsored R&amp;D -Reference to Microfiche Appendix -Background of the Invention -Brief Summary of the Invention -Brief Description of the Drawings (if filed) -Detailed Description of the Invention (including drawings, if filed) -Claim(s) -Abstract of the Disclosure</p> <p><input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets <u>8</u>]</p> <p><input checked="" type="checkbox"/> Oath or Declaration (unexecuted) [Total Sheets <u>2</u>]</p> <p>a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Box 5 below]</p> <p>i. <input type="checkbox"/> <b>DELETION OF INVENTORS(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).</p> <p><input type="checkbox"/> Incorporation By Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.</p>	<p>6. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>7. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies</p>
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<b>ACCOMPANYING APPLICATION PARTS</b>
<p>8. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>9. <input type="checkbox"/> 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)</p> <p>10. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>11. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 Citations <input type="checkbox"/> Copies of IDS</p> <p>12. <input type="checkbox"/> Preliminary Amendment</p> <p>13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</p> <p>14. <input checked="" type="checkbox"/> Small Entity Statement filed in prior application, Statement(s) Status still proper and desired</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>16. <input type="checkbox"/> Other:</p>

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:  
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: filed.

**18. CORRESPONDENCE ADDRESS**

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	20583 (Insert Customer No. or Attach bar code label here)	or <input type="checkbox"/> Correspondence address below
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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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Express Mail No.: EL 501 636 477 US

## PENNIE &amp; EDMONDS LLP

COUNSELLORS AT LAW  
1155 Avenue of the Americas  
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(212) 790-9090

ATTORNEY DOCKET NO. 10436-0009-999

Date: January 8, 2001

Assistant Commissioner for Patents  
Box PATENT APPLICATION  
Washington, D.C. 20231

1c903 U.S. PTO  
09/756092  
01/08/01

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): Douglas Levinson *et al.*

Executed on: Unexecuted

Title of Invention: HIGH-THROUGHPUT FORMATION, IDENTIFICATION, AND ANALYSIS OF DIVERSE SOLID FORMS

## PATENT APPLICATION FEE VALUE

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	169	-20	149	\$18.00 each	\$ 2,682.00
Independent	12	-3	9	\$80.00 each	\$ 720.00
Minimum Fee					\$ 710.00
Multiple Dependency Fee If Applicable (\$270.00)					\$ 0.00
Total					\$ 4,112.00
50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern (a verified statement as to the applicant's status is attached)					- \$ 2,056.00
Total Filing Fee					\$ 2,056.00

- ☒ Priority of provisional application nos. 60/221,539; 60/196,821; and 60/175,047 filed on July 28, 2000; April 13, 2000; and January 07, 2000, respectively, in the United States is claimed under 35 U.S.C. § 119.
- ☐ The certified copy of the priority application has been filed in application no. filed
- ☐ Amend the specification by inserting before the first line the following sentence: This is a continuation-in-part of application no. filed.

Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,

*Anthony M. Insegna*  
Anthony M. Insegna  
PENNIE & EDMONDS LLP

35,203

(Reg. No.)

Enclosure

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.

Express Mail No.: EL 501 636 477 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Levinson *et al.*

Application No.: To be assigned

Group Art Unit: To be assigned

Filed: January 08, 2000

Examiner: To be assigned

For: HIGH-THROUGHPUT FORMATION,  
IDENTIFICATION, AND ANALYSIS  
OF DIVERSE SOLID-FORMS

Attorney Docket No.: 10436-0009-999

**REQUEST TO ESTABLISH SMALL ENTITY STATUS**

Assistant Commissioner for Patents

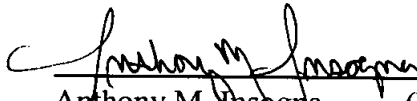
Washington, D.C. 20231

Sir:

It is respectfully requested that the above-identified application, submitted herewith, be accorded small-entity status. TransForm Pharmaceuticals, Inc., the assignee of the application, meets the requirements for small-entity status recited in 37 CFR § 1.27(a).

Respectfully submitted,

Date January 8, 2001

  
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Anthony M. Insogna (Reg. No. 35,203)

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Enclosure